The following sections describe, in detail, claim schedule preparation, printing of claim schedules and remittance advices, claim correction methods, reportable payment adjustments, posting of Claims Filed, reconciliation of claim schedules, claim schedule reports, and coding of the claim schedule and remittance advice.

CLAIM SCHEDULE PREPARATION STEPS

The steps described below are generally used by most departments; however, some variations may exist.

Step 1. Determine the content of the claim schedule

To ensure compliance with the State Administrative Manual (SAM), Section 8422, the invoices contained in claim schedules must be separated as follows:

- ✪ Separate invoices by type of disbursement: (Office Revolving Fund (ORF) reimbursement, discounts taken, immediate pay demanded, contracts, etc., as needed).
- ✪ Separate invoices by type of output: (Manual or automated schedule).

The transaction codes used to create automated or manual claim schedule batches are unique for each type. As a result, mixing automated and manual transaction codes (TCs) in the same batch is not allowed.

Departments may choose to use a manual claim schedule under the following circumstances:

- ✪ Immediate payment demands or discount timing may require same-day batching and submission to the SCO.
- ✪ Reimbursement of the ORF may involve bills for vendor services that are reportable payments to the Internal Revenue Service (IRS) and the Franchise Tax Board (FTB). The actual Vendor Number is used to avoid using TC R01 or TC R02. See Chapter XII, Reportable Payments, for more information on those transactions and requirements.
- ✪ There is a small volume of claim schedule batches so automated claim schedules would not be efficient.

Step 2. Assemble vendor invoices/payment documents into a batch

Several rules must be followed when assembling a claim schedule batch for entry. See Chapter VIII, Preparing Transaction Entry Documents, for general procedures on preparing a batch. Claim schedule batches have the following special requirements:

- ✪ Must contain only claim schedule transactions.

- ✪ Must use a unique 7-digit alpha-numeric Claim Schedule Number. If less than seven characters are used, the system right-justifies and left zero-fills those spaces. Blanks (space bar) are not allowed between digits or as leading spaces.
- ✪ Must contain transactions totaling no more than $99,999,999.99. If exceeded, the system will split the schedule, create multiple face sheets, and automatically assign an 8^{th} digit (i.e., A, B, C, etc.) rather than a zero.
- ✪ Must contain transactions with the same appropriation information (i.e., organization, fund, reference, enactment and funding fiscal year). Otherwise, the system will split the schedule, create multiple face sheets, and automatically assign an 8^{th} digit (i.e., A, B, C, etc.) rather than a zero.
- ✪ Must contain a positive dollar amount for any vendor net of all discounts and credit memos. A net zero or minus dollar vendor payment prevents an **automated claim schedule** from printing until a correction is made to change the transaction amount(s) or delete a transaction(s).
- ✪ Must contain transactions for no more than 12 vendors on one face sheet. A vendor is defined as one Vendor ID (one VE Table record or name using one address). If more than 12 vendors are contained in the batch, the system will automatically assign an 8^{th} digit (i.e., A, B, C, etc.) rather than zero and create multiple face sheets. Multiple invoices for the same vendor must be entered consecutively. If the transactions are not entered consecutively, the vendor name will appear on the face sheet more than once and be treated as multiple vendors. This could cause the batch to contain over 12 vendors.
- ✪ Must contain no more than 250 transactions in an automated claim schedule batch.
- ✪ Must contain either expenditure or refund transactions, but not both. If the transactions are mixed, the system will automatically split the TC 360's using the same Document Number but incrementing the Document Number Suffix (i.e., 00, 01, etc.).
- ✪ For manual claim schedules, avoid including more than one accounting distribution below the "APPROPRIATION" section of the Claim Schedule (Std. 218) "face sheet", illustrated in Exhibit XI-15. Although up to ten distributions are allowed by the SCO, using more than one distribution may cause problems with the automated Claims Filed (CD 102) process.
- ✪ Up to 6 invoices per page may appear on the Remittance Advice (Std. 404C), Exhibit XI-16.
- ✪ Must always use a manual claim schedule transaction to reverse any existing (manual or automated) claim schedule transaction.

Additional batching rules may also be required by the SCO.

Step 3. Enter the batch(es) in CALSTARS

The following chart gives a description of the transaction codes typically used when preparing an expenditure claim schedule:

TC	General Ledger Posting	Explanation
231	**Dr 9000 Expenditures** **Cr 3021 Claims In Process**	**To generate an automated claim schedule and remittance advice(s) for expenditures not previously encumbered.**
232	**Dr 9000 Expenditures** **Cr 3021 Claims In Process** **Dr 6155 Encumbrances - Offset** **Cr 6150 Encumbrances**	**To generate an automated claim schedule and remittance advice(s) for expenditures previously encumbered. Use the F4 key for document retrieval.**
240	**Dr 9000 Expenditures** **Cr 3021 Claims In Process**	**To record a manual claim schedule for expenditures not previously encumbered.**
243	**Dr 9000 Expenditures** **Cr 3021 Claims In Process** **Dr 6155 Encumbrances - Offset** **Cr 6150 Encumbrances**	**To record a manual claim schedule for expenditures previously encumbered. Use the F4 key for document retrieval.**
471	**Dr 3021 Claims In Process** **Cr 9000 Expenditures**	**To record a credit memo or discount within an automated claim schedule.**
470	**Dr 3021 Claims In Process** **Cr 9000 Expenditures**	**To record a credit memo or discount within a manual claim schedule.**

The following chart gives a description of the transaction codes typically used when preparing a revenue or reimbursement claim schedule:

TC	General Ledger Posting	Explanation
271	**Dr 8000 Revenue** **Cr 3021 Claims In Process**	**To generate an automated claim schedule and remittance advice(s) to disburse a revenue refund.**
270	**Dr 8000 Revenue** **Cr 3021 Claims In Process**	**To record a manual claim schedule to disburse a revenue refund.**
273	**Dr 8100 Reimbursements** **Cr 3021 Claims In Process**	**To generate an automated no warrant claim schedule for a refund from reimbursements.**
239	**Dr 8100 Reimbursements** **Cr 3021 Claims In Process**	**To record a manual no warrant claim schedule to disburse a refund from reimbursements.**

See Chapter IX, Online Financial Transaction Entry, for further detail on general procedures for entering a batch of transactions.

The Claim Schedule Subsystem summarizes all claim schedule transactions entered in a batch and creates one summary transaction by claim schedule number. This transaction posts as follows:

TC 360 Posting of Claims Filed
Dr. 3021 Claims in Process
Cr. 3020 Claims Filed

If a fatal error occurs for any claim schedule transaction during the nightly system update process, the Claims Filed transaction will not generate. If this affects an automated schedule, the schedule will not become available to print even if a print command was entered. Transactions containing fatal errors must be corrected or deleted to allow the Claim Schedule Subsystem to complete its process. See CALSTARS Procedures Manual (CPM) Volume 4, Error Correction, for instructions on transaction error correction.

The timing of the TC 360 transaction depends on several factors. The following chart describes when the TC 360 is generated and where it posts in the system.

Type of Claim Schedule	**Claim Schedule Subsystem**	**IEUP**
Manual	TC 360 generates during nightly system processing of the day claim schedule batch is released **and** all transactions process successfully (no errors on error file)	TC 360 posts during next nightly system processing after claim schedule batch is successfully processed (no remaining errors)
Example: Claim Schedule CS00001 entered and released on 9/5.	TC 360 generated with a Batch Date of 9/5	Claim schedule batch posted on 9/5 TC 360 posted on 9/6
Automated	TC 360 generates during nightly system processing when: Claim schedule batch successfully processes (no errors remaining on Error File or Claim Schedule problem) **and** Process Date equal to or later than claim schedule Batch Date	TC 360 posts during nightly processing on the day claim schedule is available for print
Example: Claim Schedule CS00002 processed on 9/5. Process Date of 9/5 or later	TC 360 generated with a Batch Date of 9/5 Claim schedule facesheets and remittance advices available for print on 9/6	Claim schedule batch posted on 9/5 TC 360 posted on 9/6

The balance of GL 3021, Claims In Process, should always be zero after the TC 360 or TC 360R has posted. A balance in GL 3021 represents claims entered into CALSTARS but not yet released for print, including claims that have fatal errors on the error file. Other incorrect balances in GL 3021 may result if the procedures described in the *Claim Schedule Error Corrections and Posting Issues* section of this chapter for correcting claim schedule posting problems are not followed correctly.

SPECIAL CONSIDERATIONS

The following special considerations should be reviewed prior to entering a claim schedule batch in CALSTARS:

Identification Of Payment Authorization

The State Controller's Office requires that disbursements authorized by a contract or purchase order be identified on the claim schedule face sheet. To meet this requirement, enter the purchase order number in the Current Document field. For contract payments, enter a **C** in the Current Document field. Information entered in the Current Document field in an automated claim schedule batch is printed on the claim schedule face sheet to the left of the payee.

Payee Data Record (Standard 204 Form)

A Payee Data Record (Std. 204 Form) is required from all non-governmental entities doing business with the State of California. The Standard 204 Form must be received prior to disbursing funds to a vendor, whether through the claim schedule or revolving fund process. The information on the Payee Data Record is needed to establish a vendor number in the Vendor Edit Table. Vendor Numbers are required on all payment transactions when the Object Code is reportable. The information entered in the Vendor Edit Table is used to determine whether payments made to the vendor are reported to the Internal Revenue Service and the Franchise Tax Board. For further details on reportable payments, refer to CPM Volume I, Chapter XII, Reportable Payments.

Subject to Use Tax Report (W04)

The W04, Subject to Use Tax Report, shown in Exhibit XI-13, is a listing of payments subject to Use Tax. Entering an Indicator of **9** in the Reportable Payment Indicator (RPI) field causes the transaction to post to the W04 Report. If there are no payments subject to Use Tax for the current day's automated claim schedules, the report is not printed.

Totals are provided by vendor within claim schedule, batch and department. The Subject to Use Tax Report is a daily report. This report does not contain cumulative-to-date information. It is important to file this report. The W04 Report may be used for the annual calculation and payment of Use Tax to the Board of Equalization.

Late Payment Interest Penalties Shown On The W07 Report

Late payment penalties are shown in the daily W07, Amounts Paid Subject To Late Payment Interest Penalties Report (Exhibit XI-14.) Using Object Code **545** or keying an Indicator of **8** in the RPI field will cause the transaction to post to the W07 Report. If there are no interest penalties paid on the current day's claim schedules, the report is not printed for that day.

Totals are provided by vendor within claim schedule, batch and department. Since the W07 Report is a daily report; it does not contain cumulative-to-date information. It is important to file this report and retain it as long as is necessary.

Remittance Advice Messages/D54 Descriptor Table

Any information entered in the Invoice field on an automated claim schedule transaction will automatically print on the RA. However, only 14 characters are available in the Invoice field. Sometimes departments need to include a message that is more than 14 characters.

Departments have the option of letting the system print a specific message on the remittance advice by entering a hyphen (-) and a 3-digit alpha-numeric code (pre-assigned in the D54 Descriptor Table) in the first four positions of the Invoice field. If a message is printed, the first four positions of the invoice number are printed as asterisks and the remaining ten positions contain the invoice number, if entered. If the same message is entered for multiple invoices for the same vendor, the message is printed once after the last invoice when the invoices are entered consecutively. If the invoices have the same message but are not entered consecutively, the message follows each occurrence.

The D54 Descriptor Table allows up to 270 characters per message. It requires some advance planning to determine the types of messages wanted and to establish the messages in the D54 table, but once the messages are entered, they remain in the D54 table until they are deleted.

The descriptor table entries involve assigning a three-digit alpha-numeric code and a one-digit number. The alpha-numeric code identifies the message. The numeric field identifies the line number of the message. Each message can have up to nine lines, and each line can have up to 30 characters.

The following table displays a sample of a two-line message that would appear on the remittance advice if entered in the D54 Descriptor Table.

MESSAGE	LINE NUMBER	TABLE ENTRY KEY
PURCHASE ORDER DOES NOT	1	DEF1
PROVIDE FOR SALES/USE TAX	2	DEF2

The following screens display the descriptor table entry prior to pressing enter.

```
9990 I.5: Descriptor                                     07-12-2008 11:12 AM

            DESCRIPTOR TABLE MAINTENANCE/INQUIRY        CHANGE DATE:

       FUNCTION: A  (A=ADD, C=CHNG, D=DEL, P=PRT, F5=VIEW MASTER,
                     F6=RECALL MAINT, F10=DEL MAINT)

TABLE ID NUMBER: 54

ORG CODE: 9990

TABLE ENTRY KEY: DEF1____________________


REFERENCE DATA: _____________________________

TITLE: PURCHASE ORDER DOES NOT__________________


Command: ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Retrn Quit                    Bkwrd Frwrd                  Main
```

```
9990 I.5: Descriptor                                     07-12-2008 11:12 AM

            DESCRIPTOR TABLE MAINTENANCE/INQUIRY        CHANGE DATE:

       FUNCTION: A  (A=ADD, C=CHNG, D=DEL, P=PRT, F5=VIEW MASTER,
                     F6=RECALL MAINT, F10=DEL MAINT)

TABLE ID NUMBER: 54

ORG CODE: 9990

TABLE ENTRY KEY: DEF2____________________


REFERENCE DATA: _____________________________

TITLE: PROVIDE FOR SALES/USE TAX________________



Command: ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Retrn Quit                    Bkwrd Frwrd                  Main
```

When a particular message is needed on a Remittance Advice, the alpha-numeric code preceded by a dash (-) is entered in the first four positions of the Invoice field. Refer to the following example of the Claim Schedule Transaction Entry screen:

```
9990 Claim Schedule Transaction Entry                      07-12-2008 12:32 PM

 Function: A  (A=Add, C=Change, D=Delete, I=Insert)     Go to Seq Nbr:
              (N=Next, P=Print Trans, R=Resequence, S=Search)
 BATCH:
  DATE    : 07-12-2008       TYPE   : 04          NUMBER: 777       FM: 12
  SCHEDULE: 0155000          SEQ NBR:     1       MODE  : EDIT ONLY

 TC       : 232               MODIFIER  : _             FFY      : 2007
 REF DOC/S: PO012345 __       VENDOR/S  . 2004789399 00 RPI      : 9
 INVOICE  : -DEF PDQ1234-A    DOC DATE  : 09 19 2007    CUR DOC/S: PO012345 00
 INDEX    . 1110              OBJ DTL/AO: 257 __        PCA      . 10200
 AMOUNT   : 100000__________  REVERSE   : _             PROJ/WP  . ______ __
 SOURCE/AS: ______ __         APPN SYM  : ___           FUND SRCE: _
 FUND/DTL : ____ __           METHOD    : _             SUBSIDRY : ________
 GLAN     : ____              DUE DATE  : __ __ ____    PCA ACTY : ____
 LOCATION : ______            MULTI PUR : ____________
 VEND INFO: _


Command: ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Retrn Quit  GetDF BHdr  LBtch Bkwrd Frwrd Clear Force Dfalt Main
Enter information to be added
```

Some examples of messages that may be useful to your department:

ALPHA-NUMERIC CODE	MESSAGE
-ABC	UNIT PRICE HAS BEEN CORRECTED TO AGREE WITH THE PURCHASE ORDER OR CONTRACT TERMS
-DEF	PURCHASE ORDER DOES NOT PROVIDE FOR SALES/USE TAX
-FGH	PURCHASE ORDER DOES NOT PROVIDE FOR PAYMENT OF TRANSPORTATION COSTS
-IJK	PREPAID SHIPPING CHARGES HAVE BEEN DEDUCTED BECAUSE NO FREIGHT OR EXPRESS BILLS WERE ATTACHED. FREIGHT CHARGES OF 50.00 OR MORE ON AN INVOICE REQUIRES A FREIGHT BILL TO BE SUBMITTED WITH THE INVOICE.
-PQR	ERROR IN MATHEMATICAL COMPUTATION OF INVOICE
-RST	PAID AGAINST THE BALANCE OF YOUR CONTRACT
-TUV	AUTHORIZED DISCOUNT HAS BEEN TAKEN
-VWX	INVOICE WAS SPLIT BECAUSE TWO FISCAL YEARS INVOLVED

Example of a remittance advice with a message from the D54 Table:

REMITTANCE ADVICE

STATE OF CALIFORNIA

STD. 404C (REV. 4-95)

THE ENCLOSED WARRANT IS IN PAYMENT OF THE INVOICES SHOWN BELOW

DEPARTMENT NAME	ORG. CODE	INVOICE DATE	INVOICE NUMBER / INVOICE AMOUNT	RPI
DEPARTMENT OF AIR QUALITY	9990			

DEPARTMENT ADDRESS	CLAIM SCHED. NO.			
100 CAPITOL MALL SACRAMENTO 95826	0155000	09/17/07	****PDQ1234-A **1000.00-**	**(9)**

VENDOR

CENTRAL OFFICE SUPPLY
909 J STREET
SACRAMENTO CA 95814

PURCHASE ORDER DOES NOT
PROVIDE FOR SALES/USE TAX

FEDERAL TAX ID NO. OR SSAN	RP TYPE	TAX YR	TOTAL REPORTED TO IRS	TOTAL PAYMENT
	9		1,000.00-	1000.00-

PRODUCTION OF MANUAL CLAIM SCHEDULES AND REMITTANCE ADVICES

When using the specific transaction codes and instructions for manual claims described in Step **3** of the *Claim Schedule Preparation Steps* section, the claim schedule and remittance forms must be typed and are not printed on the agency printer.

Manual claim schedules and remittance advice forms may be typed at any time. However, it is recommended that they are typed on the same day the transactions are entered in CALSTARS. This will assure that transactions are entered correctly, thus reducing the transmittal of claim schedules containing errors to the SCO. Refer to the *Claim Schedule And Remittance Advice Coding Requirements* section in this chapter for detailed instructions.

<u>NOTE</u>: When typing a manual claim schedule face sheet, use 7 digits. If necessary, type zeros to the left of the claim schedule number.

PRODUCTION OF AUTOMATED CLAIM SCHEDULES AND REMITTANCE ADVICES

When using the specific transaction codes and instructions for automated claims described in Step **3** of the *Claim Schedule Preparation Steps* section, automated claim schedule batches without fatal errors are available to print. The following section describes how to control the printing of automated claim schedules and remittance advices using the Claim Schedule Maintenance Entry screen (Command B.2).

Claim Schedule Maintenance (Command B.2)

The Claim Schedule Maintenance Entry screen (Command **B.2**) controls the printing of automated claim schedules. A table describing the functions and fields of the Claim Schedule Maintenance Entry screen is displayed in Exhibit XI-2. The screen displays claim schedules processed on a previous day and not yet printed or claim schedules that currently have transactions on the Error File. An example of the screen is shown here:

```
9990 B.2: Claim Schedule Maintenance Entry                 05-16-2008 09:52 AM


GLOBAL PRINT (Y/N): Y  PROCESS DATE: 05 16 2008        Go to SCHEDULE: _______

Enter under F below: (D=Delete Schedule or Transaction, H=Hold Schedule)
             (I=Insert New Line (use 2-9 for multiple lines))
             (R=Release Schedule To Print, X=Delete Maintenance)
                                                                         DUP
F   SCHEDULE              STATUS                 BATCH DATE TP NBR  SEQ  REC
--  -------   -------------------------------   ---------- -- --- -----  -
__  CS12345   MANUAL HOLD                        05-12-2008 04 002 00000
__  CS34567   NEG NET                            05-12-2008 04 005 00000
__  CS34589   ASSOC ERROR                        05-14-2008 04 006 00000
__  CS35663   ASSOC ERROR; NEG NET; MANUAL HOLD  05-10-2008 04 013 00000
__  CS35664   ASSOC ERROR; MANUAL HOLD           05-10-2008 04 014 00000
__  CS36031   NEG NET                            05-14-2008 04 015 00000
__  CS38321   READY FOR PRINT                    05-15-2008 04 137 00000
__  CS38328                                      05-15-2008 04 337 00000
__  CS38337                                      05-15-2008 04 437 00000

Command: ________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Retrn Quit                    Bkwrd Frwrd Clear             Main
```

The screen displays up to 9 lines. Additional records may be displayed by scrolling using the **F8** key. To find a specific claim schedule, enter the schedule number in the 'Go to SCHEDULE:' field and press **Enter**. If the requested record exists, it will be the first record listed on the screen. If it does not exist, the list will start with the next sequential record.

Use the following instructions for entering maintenance transactions.

The default for the **Global Print** Indicator is **Y** (Yes), and the default for the **Process Date** is the current date. Departments may change the **Global Print** indicator to **N** (No) to prevent all claims from printing. When the indicator is changed to **N**, the **Process Date** field defaults to 'MM DD YYYY'; the **N** remains until the department manually changes it back to **Y**.

The **Process Date** determines which claim schedules process and become available for print the following day. Only claim schedules with a Batch Date equal to or earlier than the specified process date are processed and made available for print the following day. Departments may change the **Process Date** to an earlier date to enable them to preview the claim schedule data prior to printing. When the **Process Date** is changed, the current date default resumes automatically the following day providing the **Global Indicator** has not been changed to **N**.

A Global Print maintenance transaction is only necessary if departments do **not** want claim schedules entered that day to print the following day. Otherwise, claim schedules are available to print the next day if no fatal errors are detected during the CALSTARS nightly Input, Edit, and Update Process (IEUP).

The following functions described below can be entered in the Function column (**F**):

D=Delete Schedule or Transaction—Key **D** in the Function field to remove an entire claim schedule or a transaction within a claim schedule from the Warrant Write File. This means the claim schedule or the transaction within a claim schedule is no longer available for print.

> **NOTE:** Deleting transactions from the Warrant Write File does not delete the previously posted expenditure transactions. Therefore, additional action may be required.

H=Hold Schedule—Key **H** in the Function field to prevent a claim schedule from printing.

I=Insert New Line—Key **I** in the Function field to create a new line (use 2-9 for multiple lines) with duplicate claim schedule information. For example, entering '**I2**' in the Function column will create two lines with duplicate claim schedule information. The sequence number in the duplicated lines will be blank. This allows a specific sequence number to be entered in place of the blank field. Using the **I** function allows a specific transaction within the claim schedule to be deleted by entering the appropriate sequence number and entering a **D** in the Function column. For example, a credit memo that causes a negative net to vendor can be deleted using this process.

R=Release Schedule to Print—Key **R** the Function field to release a claim schedule to print that has previously been placed on hold. This maintenance must be entered before the claim schedule will print.

X=Delete Maintenance—Key X the Function field to delete **previously entered** maintenance in the Function column field. For example, if **H** is entered in the Function column and should not have been, a **X** entered in the Function column directly over the **H** before nightly processing would delete the Hold. An **X** entered in the Function column does **not** delete a claim schedule or a claim schedule transaction. Only previously entered claim schedule maintenance is affected.

When the **Enter** key is pressed, the claim schedule maintenance transactions are edited. Valid maintenance transactions will display confirmation message "854-RECORD(S) SUCCESSFULLY PROCESSED" at the bottom of the screen if none of the transactions have online errors. If errors are detected on the maintenance transaction screen, the erroneous field is highlighted and the appropriate error message is displayed at the bottom of the screen. These error messages are described in CPM Volume 4, Error Correction.

5. Verify the claim schedule document balance agrees with the total on the claim schedule face sheet. The document balance can be verified by ordering a D05 report or viewing the Document Shadow File (Command **H.4**).

Credit memo transaction does not immediately follow expenditure transaction.

1. Go to the Claim Schedule Maintenance Entry screen via Command **B.2** and enter an '**I**' in the Function column next to the applicable claim schedule. This will create a new line with duplicate claim schedule information. The sequence number in the duplicate line will be blank. Replace the Sequence field with the sequence number for the TC 471 transaction and enter '**D'** in the Function column. This will delete the credit memo from the Claim Schedule Subsystem.

2. Verify that the Global Print Indicator is set to **Y** and the Process Date is the desired date to generate the face sheet, the RA(s) and the TC 360. If the default date is not the date desired, enter an appropriate Process Date. Refer to the section on *Claim Schedule Maintenance* for further details.

3. Correct or retype the claim schedule face sheet and RA(s).

4. Enter a manual TC 360R for the amount of the credit memo (TC 471) posted in the *original claim schedule* batch. Use the Document Number shown on the Document Shadow File (Command **H.4**).

5. Verify the claim schedule document balance agrees with the total on the claim schedule face sheet. The document balance can be verified by ordering a D05 Report or by viewing the Document Shadow File (Command **H.4**).

Credit memo transaction does not use same vendor ID as the expenditure transaction.

1. Use TC 470R to reverse the transaction(s) with incorrect vendor ID and TC 470 to enter the credit memo transactions with the correct vendor ID. Use the **original** claim schedule number when posting these transactions.

   <u>NOTE</u>: If the claim schedule was "split" by the system to use 'A, B, etc.', use a TC 253R and TC 253. The Current Document Number (claim schedule number) must be the same as shown on the D05 Report.

2. Go to the Claim Schedule Maintenance Entry screen via Command **B.2** and enter an '**I**' in the Function column next to the applicable claim schedule. This will create a new line with duplicate claim schedule information. The sequence number in the duplicate line will be blank. Replace the Sequence field with the sequence number for the TC 471 transaction and enter '**D'** in the Function column. This will delete the credit memo from the Claim Schedule Subsystem.

3. Verify that the Global Print Indicator is set to **Y** and the Process Date is the desired date to generate the face sheet, the RA(s) and the TC 360. If the default date is not the date desired, enter an appropriate Process Date. Refer to the section on *Claim Schedule Maintenance* for further details.

4. Correct or retype the claim schedule face sheet and RA(s). Cross-reference the correcting transactions on the original batch for audit trail purposes.

5. Enter a manual TC 360R for the amount of the credit memo (TC 471) posted in the original claim schedule batch. Use the Document Number shown on the Document Shadow File (Command **H.4**).

6. Verify the claim schedule document balance agrees with the total on the claim schedule face sheet. The document balance can be verified by ordering a D05 Report or by viewing the Document Shadow File (Command **H.4**).

Split Claim Schedules (A, B, C, etc.)

Claim schedule batches that do not comply with the rules described in Step **2** of the *Claim Schedule Preparation Steps* section may result in "split" claim schedule postings by CALSTARS. Refer to the *Online Claim Schedule Edits* section for a discussion of edits to prevent split claim schedules for automated claim schedule batches. When the system splits a claim schedule, it automatically assigns an 8^{th} digit (i.e. A, B, C, etc.) to the Claims Filed records in the Document File rather than a zero. A split claim schedule may result from any of the following situations:

A claim schedule batch contains transactions with different disbursing appropriation information (i.e. organization, fund, reference, enactment and funding fiscal year).

<u>NOTE</u>: If the coding entered is correct or the claim schedule contains more than 12 vendors, no action is required in CALSTARS because separate claim schedules are required. If the claim schedule batch contains manual claim schedule transaction codes and the claim schedule has already been submitted to SCO, refer to the *Correcting Completed Claim Schedules* section of this chapter.

If coding errors caused the claim schedule to split, follow these steps:

1. Reverse the erroneous transaction with TC 253 and re-enter the correct transaction with TC 253R. Use the same Current Document Number (claim schedule number) that is displayed on the D05 Report.

2. Type the new transaction on the face sheet and correct the claim schedule number on the RA.

NOTE: If TC 232 or TC 243 was used in the original batch and the reference document was correct, no adjustment is necessary to the encumbrances.

Claim schedule batch with multiple scheduled line items

A Claim schedule that does not split (i.e., *not* A, B, C, etc.) but generates *multiple TC 360 Claims Filed postings* with different Document Number Suffixes (i.e., **00**, **01**,**02**, etc.) is appropriate for **separating scheduled line items** within one appropriation account, as follows:

- ✪ Posting GL 3020-Claims Filed **with different Source codes** for a revenue account (e.g., 125700, 125800, etc.)
- ✪ Posting GL 3020-Claims Filed **for project general ledger accounting**, i.e., differentiating:
  - Project required GL posting (PC Table GL Posting Level = **1** or **B**).
  - Non-project required posting (e.g., no Project Code used in the disbursement transaction **or** projects with GL Posting Level = **0** or **A**).

Transactions for the same vendor are not entered consecutively.

Correct or retype the automated claim schedule face sheet and RA to ensure only one warrant is issued for each vendor listed on the claim schedule. Refer to the *Online Claim Schedule Edits* section for a discussion of edits to prevent multiple warrants issued to the same vendor for automated claim schedule batches.

ONLINE CLAIM SCHEDULE EDITS

The online financial transaction entry process for automated claim schedule batches will edit for the following conditions:

- ✪ Negative net to vendors.
- ✪ Split claim schedules for the following:
  - Batches containing more than 12 vendors.
  - Batches containing payments for multiple enactment years.
  - Batches containing payments for multiple appropriations.
- ✪ Multiple warrants issued to the same vendor.

These edits will trigger an online pop-up screen with a warning message and a recommended action. These edits will only be performed on claim schedule transactions if the Batch Header Edit Indicator is set to **1** or **2**. These edits will not be performed if the Batch Header Edit Indicator is **0**. These edits will be discontinued for the entire batch if any transaction is overridden using the **PF10**-Force key on the Financial Transaction Entry screen.

NOTE: These edits are not applicable for automated claim schedule batches uploaded into CALSTARS using external department processes.

Refer to the following sections for a detailed discussion of each of these edits.

Edits to Prevent Negative Net to Vendor

Credit memo transactions will be edited to prevent a "negative net to vendor" condition. The online pop-up message shown here will be displayed under the following conditions:

- Credit memo is not entered immediately following payment transactions for that vendor.
- Net of payments and credits equal zero.
- Credit memo amount is greater than payment amounts.

This message is fatal. Action must be taken to correct or cancel the transaction in order to proceed. If not corrected, this condition will prevent the automated claim schedule batch from printing. The corrective actions are discussed within the online pop-up message.

```
                    A C T I O N   C O N F I R M A T I O N
                              ACTION DISALLOWED

You are attempting to add an entry that will create a 'negative net to
vendor'.  This might be the result of one of the following 3 actions.

 - The credit memo amount is greater than or equal to the previously entered
 payment(s) for the same vendor.  Press PF2 to return to the entry screen and
 verify credit amount entered.  If correct, press PF7 to review the
 correctness of amount(s) entered for the associated payment entry(s).

 - The credit memo entry does not directly follow an associated entry.  To
 correct this, press PF2 to return to the transaction entry screen, cancel
 the entry using the PF9 key, then re-enter this credit memo using the
 'Insert' function directly following an associated payment entry.

 - The credit memo entry is being entered without an associated payment
 entry.  To correct this, press PF2 to return to the transaction entry
 screen, enter the payment transaction(s), then re-enter the credit memo.

           PF2 to correct or cancel this transaction.
```

This edit will not prevent all negative net to vendor errors. A negative net to vendor error can still occur under the following circumstances:

If the **I** function is used for a credit memo entry, the system will only read the previously entered consecutive payment records for that vendor until it finds enough payments to exceed the inserted credit entry. If another credit memo already exists for that vendor, the system warning could be bypassed even though the inserted credit causes a negative net because of the technique of reading only until payments exceed the inserted credit entry.

If a payment and an associated credit memo entry are successfully added and then the payment entry is subsequently "Changed", the system will not perform this edit. The negative net to vendor message will not be displayed even if the credit now exceeds the total payment entries.

Edits to Prevent Split Claim Schedules

Split automated claim schedules cause multiple face sheets to be printed. Although this is not a fatal condition, it is not recommended and can be difficult to correct. Split claim schedules are typically caused by: (1) payments to more than 12 vendors; or, (2) payments against multiple enactment years or appropriations. The following edits prevent inadvertent splits of automated claim schedule batches.

There are three possible warning messages related to this edit depending on the situation. As described in the following pop-up warning messages, these edits can be overridden by using the **PF10** key. If these warning messages are overridden, all of the edits for 'split claim schedules' and 'multiple warrants for a vendor' will be discontinued for the remainder of the batch entry. In other words, once an election is made to split a claim schedule batch, only the edit for 'negative net to vendor' will be performed.

13th Vendor Edit

The following warning message is displayed when an attempt is made to add a 13th vendor to an automated claim schedule batch. Please note that the same vendor entered twice in a batch non-consecutively is counted as two separate vendors. The corrective actions are discussed within the online pop-up message.

```
                   A C T IO N   C O N F I R M A T I O N
    WARNING!! ADDING THIS ENTRY WILL CAUSE THE CLAIM SCHEDULE TO SPLIT.

You are attempting to add a 13th vendor to this schedule.  This will create
a split claim schedule and is not recommended!  This is caused by (1) adding
a 13th vendor; or (2) multiple invoices for the same vendor were not
entered consecutively, which creates the 13th vendor.  Multiple entries for
the same vendor must be grouped together (entered consecutively).

If you want to create a split claim schedule, press PF10 to ignore this
warning.  This warning message will not be displayed on subsequent
transactions in this batch if PF10 is pressed.

If you do not want to create a split claim schedule, press PF2 to return to
the transaction entry screen and correct the vendor number or cancel this
entry using the PF9 key and remove the invoice from this schedule.

Press PF10 to ignore this warning, or PF2 to correct or cancel this entry.
```

Different Enactment Year Edit

The following warning message is displayed when an attempt is made to enter payment transactions against multiple Enactment Years within an automated claim schedule batch. The corrective actions are discussed within the online pop-up message.

```
                   A C T I O N   C O N F I R M A T I O N
    WARNING!! ADDING THIS ENTRY WILL CAUSE THE CLAIM SCHEDULE TO SPLIT.

You are attempting to add more than one Enactment Year to this claim
schedule.  This will create a split claim schedule and is not recommended!

If you want to create a split claim schedule, press PF10 to ignore this
warning.  This warning message will not be displayed on subsequent
transactions in this batch if PF10 is pressed.

If you do not want to create a split claim schedule, press PF2 to return
to the transaction entry screen and verify that the correct FFY was
entered.  If the correct FFY was entered, correct the PCA code or, if you
are attempting to override the disbursing fund segment, enter the correct
AS and/or check the Enactment Year (EY) within the AS.  Otherwise, cancel
this entry using the PF9 key and remove the invoice from this schedule.

Note: The Enactment Year within the AS must match the Enactment Year of
the previous transaction's AS to prevent a split claim schedule.

Press PF10 to ignore this warning, or PF2 to correct or cancel this entry.
```

Different Appropriation Edit

The following warning message is displayed when an attempt is made to enter payment transactions against multiple appropriations within an automated claim schedule batch. The corrective actions are discussed within the online pop-up message.

```
                A C T I O N   C O N F I R M A T I O N
    WARNING!! ADDING THIS ENTRY WILL CAUSE THE CLAIM SCHEDULE TO SPLIT.

You are using different appropriation funding than the preceding entry(s).
This will create a split claim schedule and is not recommended!

If you want to create a split claim schedule, press PF10 to ignore this
warning.  This warning will not be displayed on subsequent transactions in
this batch if PF10 is pressed.

If you do not want to create a split claim schedule, press PF2 to return
to the transaction entry screen and verify that the correct PCA was
entered.  If the correct PCA was entered, and you are attempting to
override the disbursing fund segment, enter the correct appropriation
symbol (AS).  Otherwise, cancel this entry using the PF9 key and remove
the invoice from this schedule.

Correction may require that the funding information within the PCA's AS be
changed or that the AS being used be replaced with a different AS.

Press PF10 to ignore this warning, or PF2 to correct or cancel this entry.
```

Edits to Prevent Multiple Warrants Issued to the Same Vendor

These edits prevent inadvertently issuing multiple warrants to the same vendor within a claim schedule. This condition occurs when all payment transactions for a vendor are not entered consecutively within a batch. For this edit, vendors are compared by Vendor Number/Suffix or Vendor Name and Address Line 1. Although this is not a fatal error, departments should avoid issuing multiple warrants to the same vendor.

There are three possible warning messages related to this edit depending upon the transaction entry activity. As described in the following pop-up warning messages, this edit can be overridden by using the **PF10** key. If an override is elected for a vendor, this warning edit will be disabled for the remainder of the batch entry for all vendors.

Non-Consecutive Vendor Number: Original Batch Entry Edit

The warning message below is displayed when multiple payment transactions are entered non-consecutively for the same vendor. The corrective actions are discussed within the online pop-up message.

```
                   A C T I O N   C O N F I R M A T I O N
WARNING!! USING THIS VENDOR NUMBER/SUFFIX WILL CAUSE THIS VENDOR TO RECEIVE
MULTIPLE WARRANTS

This Vendor Number/Suffix has been entered in a previous transaction.
Multiple Invoices for the same vendor should be entered consecutively so
only one warrant is issued to that vendor at the same address.
         VERIFY THE ENTERED VENDOR NUMBER/SUFFIX IS CORRECT.

If the vendor number/suffix is correct, and you want only one warrant
issued to this vendor, return to the transaction entry screen and cancel
this entry using the PF9 key.  Then scroll back to the transaction(s)
previously entered for this vendor and add this invoice using the
'Insert' function.

If you want separate warrants issued to this vendor, press PF10 to
ignore this warning for this batch.  This option is not recommended
due to SCO requirements.

Press PF10 to ignore this warning, or PF2 to correct or cancel this entry
```

Non-Consecutive Vendor Number: I or C Function Edit (Vendor Previously Used in Batch)

The following warning message is displayed when multiple payment transactions (using an Insert or Change Function) are entered for the same vendor non-consecutively and this same vendor had been used in a later transaction(s). The corrective actions are discussed within the online pop-up message.

```
                   A C T I O N   C O N F I R M A T I O N
WARNING!! USING THIS VENDOR NUMBER/SUFFIX WILL CAUSE THIS VENDOR TO RECEIVE
MULTIPLE WARRANTS

This Vendor Number/Suffix has been entered in a subsequent transaction.
Multiple Invoices for the same vendor should be entered consecutively so
only one warrant is issued to that vendor at the same address.
         VERIFY THE ENTERED VENDOR NUMBER/SUFFIX IS CORRECT.

If the vendor number/suffix is correct, and you want only one warrant
issued to this vendor, return to the transaction entry screen and cancel
this entry using the PF9 key.  Then scroll back to the transaction(s)
previously entered for this vendor and add this invoice using the
'Insert' function.

If you want separate warrants issued to this vendor, press PF10 to
ignore this warning for this batch.  This option is not recommended
due to SCO requirements.

Press PF10 to ignore this warning, or PF2 to correct or cancel this entry
```

Non-Consecutive Vendor Number: I or C Function Edit (I or C Activity Splits a Vendor Group Previously Entered)

The following warning message is displayed when insert or change activity within a batch splits a group of transactions previously entered for a vendor. If not corrected, this action will cause the printing of multiple warrants for that vendor. The corrective actions are discussed within the online pop-up message.

```
                    A C T I O N   C O N F I R M A T I O N
WARNING!! USING THIS VENDOR NUMBER/SUFFIX WILL CAUSE PREVIOUS VENDOR TO
RECEIVE MULTIPLE WARRANTS

The previous and subsequent transactions contain identical vendor numbers
different from the one you are entering.  Multiple Invoices for the same
vendor should be entered consecutively so only one warrant is issued to
that vendor at the same address.
      VERIFY THE ENTERED VENDOR NUMBER/SUFFIX IS CORRECT.

If the vendor number/suffix is correct, and you want only one warrant
issued, return to the transaction entry screen and cancel this entry using
the PF9 key.  Then scroll back/forward past the previously entered vendor
and add this invoice using the 'Insert' function.

If you want separate warrants issued to the previous/subsequent vendor,
press the PF10 key to ignore this warning for this batch.  This option is
not recommended due to SCO requirements.

Press PF10 to ignore this warning, or PF2 to correct or cancel this entry
```

CLAIM CORRECTIONS MADE BY SCO

Occasionally, a claim schedule sent to the SCO may contain an invoice that cannot be paid due to rules violations or an incorrect amount. When this occurs, the SCO auditor may correct the invoice and issue a warrant in a different amount, or return the unpaid vendor invoice to the department for correction. The SCO will prepare and send a Notice of Claim Correction (Form AUD 16) in accordance with SAM

Section 8422.5. The department must record the claim correction on the department's copy of the claim schedule and remittance advice.

This claim correction must be entered in CALSTARS using the appropriate transaction:

For Expenditure claim cuts:
TC 253 - Reduce Expenditure (Claim Correction)
Dr. 1140 Cash In State Treasury
Cr. 9000 Appro Expend/Operating Expend. & Expenses

OR

For Special Deposit disbursement claim cuts:
TC 255 - Record Claim Correction - Increase Deposits
Dr. 3020 Claims Filed
Cr. 3500 Liabilities For Deposit

OR

For Revenue refund claim cuts:
TC 256 - Record Claim Correction - Increase Revenue
Dr. 1140 Cash In State Treasury
Cr. 8000 Revenue/Operating Revenue

OR

For Reimbursement refund cuts:

TC 257 - Record Claim Correction - Increase Reimbursements
Dr. 1140 Cash In State Treasury
Cr. 8100 Reimbursements

After the claim correction transaction has successfully posted, the system generates a transaction, TC 361 (except for TC 255, Special Deposits) to adjust the Claims Filed document in the Document File, as follows:

TC 361 - Claim Correction - Reduce Claims Filed - System Generated
Dr. 3020 Claims Filed
Cr. 1140 Cash In State Treasury

Verify the claim schedule document balance agrees with the corrected claim schedule total as indicated on the Notice of Claim Correction (Form AUD 16). The document balance can be verified by ordering a D05, Document Report of Claims Filed or by viewing the Document Shadow File (Command **H.4**) after the system generated TC 361 has posted.

THE NOTICE OF CLAIM PAID CD 102

After the claim schedule is sent to and successfully processed by the SCO, a Notice of Claim Paid (CD 102) form is sent by the SCO to the department. Posting this record in CALSTARS is part of the appropriation reconciliation process and therefore must be done on a monthly basis. See the *Reconciliation Of Claim Schedules* section for a description of the claim schedule reconciliation process.

Manual CD 102 posting method - A batch is prepared to manually post the CD 102s into CALSTARS. The following transaction is then used to manually post the CD 102:

TC 252 - Reduce Claims Filed-Notice of Claims Paid
Dr 3020 Claims Filed
Cr 1140 Cash In State Treasury

A TC 252 posts against **each** Document File record for the claim schedule. To verify the correct Document Number(s), review the D05 Report, and/or go to Command **H.4** - Document (File Inquiry) and view the record(s) that apply to the claim schedule.

IMPORTANT: If batching rules were not followed, more than one claim schedule (i.e., A, B, C, etc.) **and** Claims Filed transaction, TC 360, may be generated. Also, if "Project General Ledgers" (see the Project Control (PC) Table , CPM Volume 2, Chapter IV-PC, item GL Post Level, code **1** or **B**) are used, separate TC 360 transactions will be generated for each designated Project and a separate Document Number Suffix code assigned to each (i.e., **00**, **01**, **02**, etc.). Transactions **not using** PC Table code **1** or **B and** transactions without PC Tables are summed into one TC 360.

The receipt of the CD 102 from the State Controller's Office:

Dr. 3020 Claims Filed
Cr. 1140 Cash In State Treasury

In general, the balance in the GL 3021-Claims In Process account represents claims entered into CALSTARS but not yet sent to the SCO. The balance in the GL 3020-Claims Filed represents claims sent to the SCO for which no disbursement (CD 102) has been received.

On a daily basis, the claim schedules should be compared to the W01 Report for audit purposes. At month end, claim schedule batches on the Batch Control Log should be compared to the claim schedules listed on the D05 Report (See CPM Volume 6, Chapter II-D, System Generated Reports). If a discrepancy between the Batch Control Log and the D05 Report exists, it may be due to the following reason(s):

- ✪ A reconciling item has not been cleared. For example, a Claim Schedule transaction remains on the Claim Schedule Maintenance Entry screen due to a negative net to vendor.
- ✪ A transaction(s) was deleted from the Claim Schedule File.
- ✪ A transaction(s) is on the Error File.
- ✪ A transaction(s) was deleted from the Error File.

Claim schedules that do not appear on the D05 Report, but are listed in the Batch Control Log may have posted in CALSTARS after the 'As Of Date' of the D05 Report.

The Claims Filed balance for each schedule on the D05 Report should equal zero **after** all CD 102s and adjustments to Claims Filed are correctly posted. If a balance remains, the HG1, General Ledger Analysis Report, and/or the H04, Claims in Process and Filed Activity Report, may be referenced to aid in reconciling transactions posted to either Claims in Process, Claims Filed or Cash in State Treasury.

CLAIM SCHEDULE REPORTS

This section describes all of the claim schedule reports generated by the nightly system update process and the Claim Schedule Subsystem based on batch transaction entry and maintenance, error correction, claim schedule or Warrant Write File maintenance.

Some of these reports need to be reviewed to verify that the claim schedule entry/adjustment transactions are correct and complete.

These reports include:

- ✪ Claim Schedules Requiring Action Report (CSBW01-1)
- ✪ Summary of Claim Schedules Filed (W03)
- ✪ Claim Schedule Preview Report (CSBW08-1)
- ✪ Summary of Claim Schedule Transactions Deleted (W1A)
- ✪ Claim Schedule Generated Transactions (CFB080-1)
- ✪ CALSTARS Claim Schedule File Maintenance Report (CFB810-1)
- ✪ Claim Schedule Extract Summary (CFB820-1)
- ✪ Automated SCO CD 102 Postings (TC 362) Report (CSB084-1)
- ✪ List of CD 102 Non-Matched for FM *nn* [*Month*] Report (CSB084-2).

Each report is described in this section.

Claim Schedules Requiring Action Report (CSBW01-1)
The Claim Schedules Requiring Action Report (CSBW01-1), shown in Exhibit XI-3 is produced when an action is required before a claim schedule can be printed. A message stating the cause of the problem is displayed below the total for each claim schedule or to the right of the total amount for each payee. The messages and definitions are as follows:

Associated Transaction On Error File - One or more transactions in the claim schedule is on the Error File preventing the claim schedule batch from generating a Claims Filed transaction (TC 360) or claim cut (TC 361), as appropriate. The transactions displayed on the CSBW01-1 Report successfully posted to the CALSTARS master files and the Warrant Write File. However, the remaining transactions in the claim schedule need to be cleared from the error file.

ACTION: See the Error Correction Activity Report (CFB200-2) and correct the transactions containing fatal errors.

Negative Net To Vendor - For an automated claim schedule, one of the following three situations exist:

- ✪ One or more credit memos are included that result in a zero or negative balance payment to a vendor.
- ✪ A credit memo does not immediately follow an invoice from the same vendor.
- ✪ The vendor information is not identical between the invoice and the credit memo.

Remember that all of the transactions on the CSBW01-1 Report successfully passed the nightly system processing edits without fatal errors and have already posted to the master files. Corrections will require entering *new* transactions to either increase and/or negate existing transactions.

ACTION: Enter correcting claim schedule transactions. Refer to the *Correcting Claim Schedule Posting Problems* section in this chapter for further details.

Manual Hold Set - The department has entered an **H** in the Function column on the Claim Schedule Maintenance Entry screen (Command **B.2**) to restrict a claim schedule batch from **Print** maintenance availability.

ACTION: An **R** in the Function column on the Claim Schedule Maintenance Entry screen (Command **B.2**) will release the claim for printing and is required for printing availability.

If no message is displayed, the corresponding automated claim schedules are **not available** for printing because either the Global Print Indicator operator was changed to an **N** or the Process Date is earlier than the Batch Date of the claim schedule transaction.

ACTION: Refer to the section on *Claim Schedule Maintenance* for further details.

The Claim Schedules Requiring Action Report is ROPED to your agency printer (queue RWW1). The report can be viewed or printed through Command **G.4**. Transactions on this report are sorted numerically by claim schedule number followed by alpha character claim schedule numbers.

Summary of Claim Schedules Filed (W03)

The Summary of Claim Schedules Filed Automated and Manual Reports, shown in Exhibits XI-4 and XI-5, are printed each day claim schedule transactions post to Claims Filed, GL 3020 (TCs 360, 360R and 361.) The transactions occur when batches are posted without fatal errors (manual) or without fatal errors when claim schedules are available to be printed (automated).

Transactions on this report are sorted numerically by claim schedule number followed by alpha character claim schedule numbers and is ROPED to your agency printer (queue RWW1). The report can be viewed or printed through Command **G.4**.

Claim Schedule Preview Report (CSBW08-1)

The Claim Schedule Preview Report (CSBW08-1) shown in Exhibit XI-6, lists all claim schedules that successfully post to CALSTARS, but has not been printed. Claim schedules are on this report if either the Global Print Indicator was changed to **N** or the Process Date entered on the Claim Schedule Maintenance screen is earlier than the Batch Date on the claim schedule transaction. The report is sorted by claim schedule number and then by alpha characters. The Claim Schedule Preview Report may be used to verify the accuracy of claim schedule entries prior to printing claim schedules.

The CSBW08-1 Report is ROPED to your agency printer (queue RWW1). The report can be viewed or printed through Command **G.4**.

Summary of Claim Schedule Transactions Deleted (W1A)
The Summary of Claim Schedule Transactions Deleted Report (W1A), shown in Exhibit XI-7, displays Warrant Write File transactions that were deleted during the previous nightly system processing. The Summary of Claim Schedule Transactions Deleted is produced only if a **D** was entered in the Function column of Claim Schedule Maintenance Entry screen on the prior day to delete transactions from the Claim Schedule File.

The W1A Report is ROPED to your agency printer (queue IEUP). The report can be viewed or printed through Command **G.4**.

Claim Schedule Generated Transactions Report (CFB080-1)
The Claim Schedule Generated Transactions Report (CFB080-1), shown in Exhibit XI-8, is produced each time the Claim Schedule Subsystem generates Claims Filed transactions, TCs 360 and/or 361. It displays each transaction and the batch header information for each batch it creates. Transactions on this report are sorted numerically by claim schedule number followed by alpha character claim schedule numbers.

The CFB080-1 Report is ROPED to your agency printer (queue RWW1). The report can be viewed or printed through Command **G.4**.

Claim Schedule File Maintenance Activity Report (CFB810-1)
The Claim Schedule File Maintenance Activity Report (CFB810-1), shown in Exhibit XI-9, is printed if Claim Schedule maintenance was done the previous day. All maintenance is listed on the report, regardless of whether errors exist or not. However, maintenance transactions with an error code and message are not processed until they are corrected. The error codes and messages reported on the Claim Schedule File Maintenance Activity Report may be found in CPM Volume 4, Error Correction.

The CFB810-1 Report is ROPED to your agency printer (queue IEUP). The report can be viewed or printed through Command **G.4**.

Claim Schedule Extract Summary (CFB820-1)
The Claim Schedule Extract Summary (CFB820-1), shown in Exhibit XI-10, is produced by the Claim Schedule Subsystem to show the status of all claim schedule batches. Summary data is provided for both manual and automated claim schedules.

Transactions on this report are sorted numerically by claim schedule number followed by alpha character claim schedule numbers.

The CFB820-1 Report is ROPED to your agency printer (queue IEUP). The report can be viewed or printed through Command **G.4**.

CALSTARS Automated SCO CD 102 Postings (TC 362) Report (CSB084-1)
The Automated SCO CD 102 Postings Report (CSB084-1), shown in Exhibit XI-11, is produced when an interface is created using the monthly electronic CD 102 File from the SCO and the CALSTARS Document File for all Claims Filed (GL 3020) records. All claims paid by SCO during the previous month are listed by claim schedule number in numerical order. If an SCO claim schedule record does not match a Document File record in CALSTARS, it is flagged ('*****') for non-match *data* or ('**$**') for non-match *amount*.

NOTE: The optional automated CD 102 posting process is controlled using the current year Organization Control Table, item CD 102, code **Y**-Yes or **N**-No to authorize this automatic monthly process.

The CSB084-1 Report is ROPED to your agency printer (queue IEUP). The report can be viewed or printed through Command **G.4**.

CALSTARS List of CD 102 Non-Matched For *nn* [*Month*] Report (CSB084-2)
The List of CD 102 Non-Matched Report (CSB084-2), shown in Exhibit XI-12, is produced when the monthly electronic CD 102 file contains records that cannot be matched with Document File (GL 3020) records. This exception report is only produced if an SCO record does not match a CALSTARS Document File record. SCO transactions are displayed with the SCO funding information to help departments identify the differences.

The CSB084-2 Report is ROPED to your agency printer (queue IEUP). The report can be viewed or printed through Command **G.4**.

EXHIBIT XI-3

```
CSBW01-1 9990 (DEST: D1 CTP2) *****           DEPARTMENT OF AIR QUALITY             ************************** ORG NUMBER:   9990
                           CALSTARS         CLAIM SCHEDULES REQUIRING ACTION         REPORT                    ORG PAGE:        1
07/11/2008 (20:00) ******************************************************************************************** RUN PAGE:      357
CLAIM          SUB                             PROGRAM, OBJ
SCHEDULE  FUND  FUND  FS  EY    REF  FFY   CHPTR   OR SOURCE      PURPOSE                            APPROPRIATION AMOUNT
--------  ----  ----  --  ----  ---  ----  ------  -------------  -------------------------          --------------------
          VENDOR NAME                     B-DATE   T  NBR SEQ   D  INV DATE  INVOICE NBR    DUE DATE    INVOICE AMOUNT
          ------------------------------  -------- -- --- ----- -  --------  -------------- -------- -----------------
0152000   0001        D   2007  001  2007  171/07                 CLEARING ACCOUNT                                 75.00
          0001        G   2007  001  2007  171/07  11 11                                                           25.00

          JOHN DOE                        07-08-08 04 777 00001 0  04-30-08  MAY2008                           25.00
          7101 W. 80TH STREET                                                                        -----------------
          LOS ANGELES,CA 90045                                                   TOTAL FOR PAYEE               25.00

          STATE TREASURER                 07-08-08 04 777 00002 0  06-01-08  12345600000000                   115.00
          915 CAPITOL MALL, ROOM 110                                                                 -----------------
          SACRAMENTO,CA 95814                                                    TOTAL FOR PAYEE              115.00

          DEPT OF FINANCE                 07-08-08 04 777 00003 0  06-15-08  5276                              40.00-
          915 L ST,7TH FLOOR-CALSTARS                                                                -----------------
          SACRAMENTO,CA 95814                                                    TOTAL FOR PAYEE               40.00- NEGATIVE NET

   ==ERROR==>  0152000 HELD DUE TO:  MANUAL HOLD SET

0160000   0001        D   2007  001  200  171/07                 CLEARING ACCOUNT                              50.00
          STATE TREASURER                 07-11-08 04 800 00002 0  05-30-08  MAY 2008                          50.00
          915 CAPITOL MALL, ROOM 110                                                                 -----------------
          SACRAMENTO,CA 95814                                                    TOTAL FOR PAYEE               50.00

   ==ERROR==>  0160000 HELD DUE TO:  ASSOCIATED TRANSACTION ON ERROR FILE
```

EXHIBIT XI-10

```
CFB820-1 9990 (DEST: A1 CTP2) *****   DEPARTMENT OF AIR QUALITY                      ************************** ORG NUMBER:   9990
                          CALSTARS          CLAIM SCHEDULE EXTRACT SUMMARY            REPORT                              ORG PAGE:       5
 10/05/08 (19.38) ************************************************************************************************ RUN PAGE:      10
                 MANUAL CLAIMS PROCESSED             MANUAL CLAIMS HELD
   TRANSACTION COUNT:                  3                              0
   TRANSACTION TOTAL:             $99.00                           $.00
              AUTOMATED CLAIMS PROCESSED          AUTOMATED CLAIMS HELD
   TRANSACTION COUNT:                  0                              2
   TRANSACTION TOTAL:               $.00                        $199.00
```

EXHIBIT XI-11

CSB084-1 ************************** DEPARTMENT OF AIR QUALITY ************************ORG NUMBER: 9990
CALSTARS AUTOMATED SCO CD102 POSTINGS (TC 362) REPORT ORG PAGE: 1
03/02/2010 (06:00) ** RUN PAGE: 1
FM: 08 FEBRUARY BATCH DATE: 20100302 BATCH TYPE: WW

--------------------RECONCILIATION--------------------

S	CLAIM SCHEDULE	BEG WARR NBR	END WARR NBR	WARRANT DATE	FFY	REF DOC-SFX	INDX	OBJ DTL	AMOUNT	PROJ/WP	AS	FS	FUND-FD	M	SOURCE	--BATCH-- NBR	SEQ
$	00413750	05595533	05595534	20100226	2009	00413750 01		000	1,109.38		900	D	0001-01	1		001	00001
$	00413760	05595499	05595501	20100226	2009	00413760 02		000	4,407.29	151000 00	900	D	0001	1		001	00002
	00413770	05595502	05595507	20100226	2009	00413770 00			2,452.80		900	D	0001	1		001	00003
	00413770	05595502	05595507	20100226	2009	00413770 01			342.74	151000 00	900	D	0001	1		001	00004
	00413780	05595514	05595514	20100226	2009	00413780 00			545.39		900	D	0001	1		001	00005
	00413780	05595514	05595514	20100226	2009	00413780 01			987.28	151000 00	900	D	0001	1		001	00006
	00413850	05570484	05570484	20100219	2009	00413850 00			215,000.00		900	D	0001	1		001	00007
*	0091329	05513371	05513371	20100201	2007	00913290 00		000	3,697.50				0001			001	00008
$	00913310	05513387	05513388	20100201	2007	00913310 01		000	7,698.93		900	D	0001	1		001	00009
*	0091350	05562091	05562091	20100216	2007	00913500 00		000	881.50				0001			001	00010
*	0091360	05585866	05585866	20100224	2007	00913600 00		000	309.19				0001			001	00011

TOTAL AUTOMATED CD102S : 237,432.00

TOTAL NUMBER OF NON-MATCHES : 6
TOTAL NUMBER OF MATCHES : 5
TOTAL NUMBER OF TRANSACTIONS: 11

EXHIBIT XI-14

```
CSTARW07 9990 (DEST: A1 CTL1) ************************************************ RUN DATE: 09/30/08  RUN TIME: 17.25.00 **** CALSTARS
                                                       DEPARTMENT OF AIR QUALITY (9990)
                                              AMOUNTS PAID SUBJECT TO LATE PAYMENT INTEREST PENALTIES
                                                               AS OF 09/30/08
*************************************************************************************************************************************
----BATCH ID----    CLAIM SCHEDULE
 DATE  TYPE  NUM        NUMBER
----------------    --------------
                                                                                                     FEDERAL
 ---------------VENDOR NAME--------------   -----------VENDOR ADDRESS 1-------------    ID NUMBER   SEQ          AMOUNT
 ----------------------------------------   ----------------------------------------  -----------  -----  --------------------
08-09-29 04  596    0010655
  ABC CALIFORNIA                             PAYMENT PROCESSING CENTER                99-9999999   00046             80.92
*TOTAL FOR VENDOR: ABC CALIFORNIA                                                                                       80.92
*TOTAL FOR CLAIM SCHEDULE: 0010655                                                                                      80.92
*TOTAL FOR BATCH: 08-09-29  04  596                                                                                     80.92
*TOTAL FOR ORGANIZATION: 9990                                                                                           80.92
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CLAIM SCHEDULE AND REMITTANCE ADVICE CODING REQUIREMENTS

Claim schedule coding requirements may vary depending on the type of appropriation, or special SCO account and whether the claim schedule is for disbursing vendor payments (taxable or non-taxable), reimbursing the Revolving Fund or refunding monies. The information shown in this section is general and may not describe all circumstances. Contact the SCO, Division of Disbursements and/or the CALSTARS Hotline if further information is needed.

NOTE: Automated claim schedules and Remittance Advices are printed on special forms. For this reason, they cannot be printed overnight with the other CALSTARS reports. Instead, they must be printed when an operator is present to load and align the special forms in the printer. Commands for printing of claim schedules and Remittance Advices are described in Step **5**. Also, see CPM Volume 6, Chapter 2, Report Requesting, Printing and Other Output, for instructions on using ROPES commands.

The following sections describe the claim schedule and remittance advice forms:

Claim Schedule (Std. 218)
Automated Claim Schedules (Exhibit XI-15, page 56) are printed when a Process Date is entered through claim schedule maintenance to the previous night's run of the Claim Schedule Subsystem. If none of the guidelines listed in the *Claim Schedule Preparations Steps* section are violated, one claim schedule is printed for each batch of claim schedule accounting transactions. If any of the guidelines for batching is violated, CALSTARS may generate multiple claim schedules from a single batch. These multiple claim schedules contain the original 7-digit Claim Schedule Number assigned by the batch header. An 8th alpha character is assigned by the Claim Schedule Subsystem and appears with the claim schedule number on all Claim Schedule Subsystem generated transactions and reports except the W01, Claim Schedules Requiring Action Report and the W1A Report. The 8th character is assigned (if needed) by the subsystem when the claim schedule is selected for printing.

The claim schedule consists of five sections. The Claim Schedule Subsystem prints the required SCO information in the following field names:

Payable from section - Located at the top of the claim schedule. This section contains the fund, subfund, fund name, department number and department name.

Appropriation section - Located near the top of the claim schedule. This section contains the year of the statute, method, reference item, sequence, funding fiscal year, chapter, statutes and purpose.

Accounting distribution section - Located below the appropriation section. This section contains information used by the SCO to account for payments. This information includes the Federal catalog number, SCO project number, category, program, element, component, task, general ledger account number, receipt source or object, fund source, amount and description. This section of the claim schedule contains up to ten lines of accounting distribution data. Each time one of the values in an accounting distribution changes, a new line of accounting distribution data is shown with the applicable dollar amount until the accounting distributions for all payments have been printed. The total dollar amount(s) listed in this section equals the total amount of the claim schedule.

NOTE: The use of more than one line on manual claim schedules will create multiple SCO transactions making it more difficult to reconcile using the automated CD 102 process and cause posting errors.

Claimant section - Located in the middle of the claim schedule. This section contains information used by the SCO to print warrants. This information includes the claimant (vendor's) name and the amount of the payment. In addition, the Current Document Number from the accounting transaction is listed in the column headed "P.O. NO. or C". If there is more than one accounting transaction for a given payment line on the claim schedule, the Current Document Number from the first accounting transaction in the group is used. The Total of all the payments on the schedule is printed at the bottom of the claimant section.

Miscellaneous information - Located in the column on the right side of the form. This section contains the schedule number (including the 8th alpha character, if needed), the number of and dollar amount of reportable payments and the total amount subject to Use Tax, if any.

Remittance Advice (Std. 404C)

The Remittance Advice accompanies each warrant produced by the SCO. It is inserted in the front of a window envelope to display the vendor's mailing information. It may also include an Invoice Number if that information was entered into the disbursement transaction. The Remittance Advice is illustrated in Exhibit XI-16.

NOTE: Automated remittance advice forms are printed in the same order as the automated claim schedules. When an automated claim schedule has more than one automated remittance advice, the remittance advice forms are printed in the same order that the associated transactions appear on the claim schedule. The result is transactions on the automated claim schedule and the remittance advice are in the same order as the accounting transactions and the source documents. This helps to speed the review process.

The Claim Schedule Subsystem prepares a multiple page remittance advice for claim schedule payment lines that represents 7 or more transactions summarized by document date and vendor invoice number. The first page contains the first 6 transactions; the second page contains the 7th through 12th transactions and so forth, up to a 10-page remittance advice. The dollar total of the transactions on the remittance advice appears on the last page.

The following information is printed on the automated remittance advice by the Claim Schedule Subsystem.

Vendor-identification number - The 10-digit Vendor Number and 2-digit Vendor Suffix from the Vendor Edit Table. If a vendor's name and address are entered on the accounting transaction instead of a vendor number, then a vendor number does not appear on the automated remittance advice.

Page number - The page number of the remittance advice. As described previously, a multiple page remittance advice is printed when all of the accounting transactions, summarized by document date and vendor invoice number, exceeds six lines and cannot fit on a single page.

Department name, address, city, state and zip code - The department name, first line of address, city, state and zip code as contained in the Vendor Edit Table for Vendor Number **AAAAAAAAAA-00**. Departments must have this Vendor Edit Table record established in CALSTARS for their name and address to appear on the automated remittance advice. The Contact Phone Number must be in the department's VE Table record **AAAAAAAAAA-00**. It will appear on the bottom of all remittance advices.

If the disbursing org is coded on the AS table, the department's name, address and contact phone number will be printed on the automated remittances advices from the information contained in the disbursing org's Vendor Edit Table for Vendor Number **AAAAAAAAAA-00.**

Claim Schedule Number - The 7-position claim schedule number assigned on the Batch Header Sheet and the one position zero or alpha claim schedule number suffix (if any) assigned by the Claim Schedule Subsystem.

Vendor name and address - The vendor name, address line-1, address line-2, address line-3, vendor city, vendor state and vendor zip code as contained in the Vendor Edit Table or as entered on the accounting transaction.

Federal Tax ID or SSN - The vendor's Federal tax identification number or social security number.

NOTE: Only the last five numbers are shown for Federal tax identification number or social security number).

RP Type - The reportable payment code from the disbursement transactions, as applicable.

Total Reported to IRS - The total dollar amount of reportable payments on the Remittance Advice.

Invoice date, number, amount and message - The document date, vendor invoice number and dollar amount of the accounting transaction(s). (Accounting transactions are summarized on the automated remittance advice by document date and vendor invoice number.) The document date, vendor's invoice number and amount of all the consecutive transactions on the claim schedule are printed on a remittance advice for each vendor. Transactions appear on both the automated claim schedule and remittance advice in the same order as they are entered in the batch.

Reportable Payments Indicator (RPI) - The 1-digit Reportable Payments Indicator (as defined in the SAM Section 8422.19) is printed on the extreme right side of the automated remittance advice next to the total reportable payment dollar amount. See Chapter 12, Reportable Payments, for the codes and descriptions.

Total - The total payment amount is printed after the last line of invoice date, number and amount.